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01-14-02

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 01/10/02 1040 U.S. PTO 10/043816 01/10/02	UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional application under 37 C.F.R. § 1.53(b))	Attorney Docket No. IN-5270
		First Named Inventor Sunitha GRANDHEE
		Filing Date Thursday, January 10, 2002
		Title HYDROXY AND CARBAMATE FUNCTIONAL RESINS
		Express Mail Certificate ET332278536US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application, Washington, DC 20231
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1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
3. <input checked="" type="checkbox"/> Specification [Total Pages 35] -(preferred arrangement set forth below) - Descriptive title of the invention - Cross References to Related Application - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the invention - Background of the invention - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure	a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identify of above copies
4. <input type="checkbox"/> Drawing(s) (35 U.S.C.113) [Total Sheets <input type="checkbox"/>] 5. <input checked="" type="checkbox"/> Oath or Declaration [Total Sheets 02] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR § 1.63(d)) (for continuation/divisional with Box 17 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting	ACCOMPANYING APPLICATION PARTS 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input checked="" type="checkbox"/> 37 CFR§3.73(b) Statement <input checked="" type="checkbox"/> Power Of Attorney (when there is an assignee) 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/ PTO-1449 <input type="checkbox"/> Copies of IDS Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> other:
6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment;

☐ **Continuation**
 ☐ **Divisional**
 ☐ **Continuation-in-part (CIP) of prior application No. 0** filed on _____

Prior application information: **Examiner** **Group/Art Unit:**

For CONTINUATION OR DIVISIONAL APPS only; The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. **CORRESPONDENCE ADDRESS**

☒ **Customer Number or Bar Code Label**
26922
 PATENT-TRADEMARK OFFICE

or ☐ **Correspondence address below**

Country	USA	Telephone	(248) 948-2021	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin		Registration No. (Attorney Agent)	33,772	
Signature	<i>Anne G. Sabourin</i>		Date	January 10, 2002	

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.
These are the fees effective October 1, 2001

Attorney Docket No.	IN-5270
First Named Inventor	Sunitha GRANDHEE
Filing Date	Thursday, January 10, 2002
Title	HYDROXY AND CARBAMATE FUNCTIONAL RESINS
Express Mail Certificate	ET332278536US

TOTAL AMOUNT OF PAYMENT \$1,050.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to change indicated fees and credit any over payments to:

Deposit Account Number 23-3425

Deposit Account Name BASF Corporation

☒ Change Any Additional Fee ☒ Charge the Issue Fee Set in 37 CFR §
Required Under 37 CFR §§ 1.16 and 1.17 1.18 at the Mailing of the Notice of Allowance

2. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code Entity Fee (\$)

101	710	Utility filing fee	\$740.00
106	330	Design filing fee	
107	540	Plant filing fee	
108	790	Reissue filing fee	
114	150	Provisional filing fee	
SUBTOTAL (2)			\$740.00

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims 35 - 20** = 15	15	18	\$270.00
Independent Claims 03 - 3** = 0	0	80	-0-
Multiple Dependent		270	

**Or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	
103	18	Claims in excess of 20
102	80	Independent claims in excess of 3
104	270	Multiple dependent claims, if not paid
109	82	**Reissue independent claims over original patent
110	22	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$270.00)

FEE CALCULATION

3. ADDITION FEES

Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	Surcharge -late filing fee or oath	
127	50	provisional ailing or cover sheet	
139	130	Non-English specification	
147	2,520	For filing request for examination	
112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840	Requesting publication of SIR after Examiner action	
115	110	Extension for reply within first month	
116	400	Extension for reply within second month	
117	890.	Extension for reply within third month	
118	1,510	Extension for reply within fourth month	
128	2,060	Extension for reply within fifth month	
119	310	Notice of Appeal	
120	310	Filing a brief in support of an appeal	
121	270	Request for oral hearing	
138	1,510	Petition to institute a public use proceeding	
140	110	Petition to revive-unavoidable	
141	1,320	Petition to revive-unintentional	
142	1,320	Utility issue fee (or reissue)	
143	450	Design issue fee	
144	670	Plant issue fee	
122	130	Petition to the Commissioner	
123	50	Petition related to provisional application	
126	240	Submission of information Disclosure Statement	
581	40	Recording each patent Assignment per property (time number of properties)	\$40.
146	790	Filing a submission after final rejection	
149	790	For each additional invention to be examined (37 CFR 1.129(b))	
Other	fee	(specify) Reduced By Basic Fee Paid Filing	

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or ☐ Correspondence address below



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Country	USA	Telephone	(248) 948-202	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin		Registration No. (Attorney Agent)		33,772
Signature	<i>Anne K. Sabourin</i>		Date	January 10, 2002	

PATENT

(Practitioner's Docket No. IN-5270)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Sunitha GRANDHEE

US Serial No. Herewith

Filed: January 10, 2002

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: HYDROXY AND CARBAMATE FUNCTIONAL RESINS

Patent*: Issue Date

Reexamination No.: Issue Date

Reissue: Issue Date

*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents
Washington, D.C. 20.231

STATEMENT UNDER 37 C.F.R. § 3.73(b)-
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification optional.)

I hereby certify that, on the date shown below, this correspondence is being:

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☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

37 C.F.R. § 1.8(a)

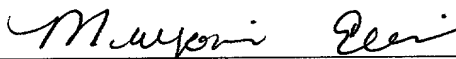
37 C.F.R. § 1.10*

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TRANSMISSION

☐ transmitted by facsimile to the Patent and Trademark Office.


Signature

Marjorie Ellis

Date: January 10, 2002

(type or print name of person certifying)

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]-page1)

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

IDENTIFICATION OF ASSIGNEE

BASF CORPORATION

2. _____
Name of assignee
CORPORATION

Type of assignee, e.g., corporation, partnership, university, government agency, etc.

PERSON(S) AUTHORIZED TO SIGN

3. Anne Gerry Sabourin, 33,772
(type name of person authorized to sign on behalf of assignee)
Managing Counsel
Title of person authorized to sign

(complete the following, if applicable)

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

A.

1. ☐ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at
Reel _____, Frame _____.
2. ☒ An assignment (document) separately being submitted for recordal herewith.

AND/OR

B.

1. ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: _____

Name of inventor(s)

To: _____

Recorded in PTO:

Reel _____ Frame _____

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]--page 2)

(check item below, and add details, if applicable)

☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

COPIES OF DOCUMENTS IN CHAIN OF TITLE

(complete this item, if copies are being sent)

☐ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

☐ A

☐ 1

☐ 2

☐ B

☐ 1.

☐ 2

☐ 3.

Reg. No.: 33,772

Anne H. Sabourin
SIGNATURE OF ATTORNEY

Anne Gerry Sabourin
Type or print name of attorney

Tel. No.: (248) 948-2021

BASF Corporation
26701 Telegraph Road
P.O. Address

Southfield, Michigan 48034-2442

Customer No. 26922

20070913 14:00

PATENT

(Practitioner's Docket No. IN-5270)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Sunitha GRANDHEE

US Serial No. Herewith

Filed: January 10, 2002

For: HYDROXY AND CARBAMATE FUNCTIONAL RESINS

Group Art Unit: Not Assigned

Examiner: Not Assigned

Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number **ET332278536US** Date of Deposit **January 10, 2002**

I hereby certify that the following attached paper or fee

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pages

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Marjorie Ellis

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

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complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

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(Practitioner's Docket No. IN-5270)

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In re Application of

Sunitha GRANDHEE

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Filed: January 10, 2002

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Group Art Unit: Not Assigned

Examiner: Not Assigned

Commissioner of Patents
Washington, D.C. 20231

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"Express Mail" label number ET332278536US Date of Deposit January 10, 2002

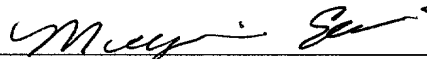
I hereby certify that the following attached paper or fee

☒ Combined Declaration and Power of Attorney on pages

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Marjorie Ellis

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Washington, D.C. 20231

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"Express Mail" label number ET332278536US Date of Deposit January 10, 2002


I hereby certify that the following attached paper or fee

☒ Application
Specification on pages; claims on pages;
the abstract on page(s); drawings on page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

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Signature of person mailing paper or fee)

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complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention

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